

Receipt

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: CHAOXIN C. QIU ET AL.

Filed: OCTOBER 3, 2001

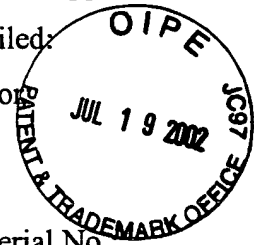
For: SYSTEMS AND METHODS FOR RESOURCE  
MANAGEMENT IN INFORMATION STORAGE  
ENVIRONMENTS

Serial No.: 09/970,457

Group Art Unit: 2151

Examiner: UNKNOWN

Atty Docket No.: SURG:160



COPY OF PAPERS  
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Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:

7-12-02 Date  
Marty Brou Name

Assistant Commissioner For Patents  
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Customer Service Center  
Washington, DC 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

A corrected filing receipt is hereby requested in view of the error which appears in the original.

In the Domestic Priority Data, please make the following corrections:

After "THIS APPLICATION IS A CON OF 09/947,869 09/06/2001", please insert:

--WHICH IS A CIP OF 09/879,810 06/12/2001--

After "AND CLAIMS BENEFIT OF 60/291,073 05/15/2001", please insert:

--THIS APPLICATION IS ALSO A CIP OF 09/797,198 03/01/2001  
THIS APPLICATION IS ALSO A CIP OF 09/797,201 03/01/2001--

After "AND CLAIMS BENEFIT OF 60/246,359 11/07/2000", please insert:

--THIS APPLICATION IS ALSO A CIP OF 09/797,200 03/01/2001--

Please replace "AND" with --WHICH-- before "CLAIMS BENEFIT OF  
60/187,211 03/03/2000"

Please replace "AND" with --THIS APPLICATION ALSO-- before "CLAIMS  
BENEFIT OF 60/246,401 11/07/2000"

A copy of the original filing receipt is attached, with the requested change(s)  
indicated in red.

A copy of a preliminary amendment filed in the above-captioned application has  
been enclosed herewith.

No fee is believed to be due in connection with the filing of this document.  
However, should any fee under 37 C.F.R. §§1.16 to 1.21 be deemed necessary for any  
reason relating to this document, the commissioner is hereby authorized to deduct said  
fee from Deposit Account 10-1205.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "William W. Enders".

William W. Enders  
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Attorney for Applicant

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/970,457	10/03/2001	2151	732	SURG:160	8	53	3

CONFIRMATION NO. 3305

## CORRECTED FILING RECEIPT



\*OC000000007717671\*

William W. Enders  
O'KEEFE, EGAN & PETERMAN  
Building C, Suite 200  
1101 Capital of Texas Highway South  
Austin, TX 78746

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Date Mailed: 03/26/2002

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

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Sarma Kolavasi, Austin, TX;  
Theodore S. Webb, Austin, TX;  
Richard W. Yu, Cedar Park, TX;  
Mark J. Conrad, Colorado Springs, CO;

## Assignment For Published Patent Application

SURGIENT NETWORKS, INC.;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/947,869 09/06/2001  
WHICH CLAIMS BENEFIT OF 60/285,211 04/20/2001  
AND CLAIMS BENEFIT OF 60/291,073 05/15/2001  
AND CLAIMS BENEFIT OF 60/246,445 11/07/2000  
AND CLAIMS BENEFIT OF 60/246,359 11/07/2000  
AND CLAIMS BENEFIT OF 60/187,211 03/03/2000  
AND CLAIMS BENEFIT OF 60/246,401 11/07/2000→ Which is A CIP OF  
09/879,810 06/12/2001→ THIS APPLICATION IS ALSO A  
CIP OF 09/797,108 03/01/2001  
THIS APPLICATION IS ALSO A  
CIP OF 09/797,201 03/01/2001→ THIS APPLICATION IS ALSO A CIP  
OF 09/797,200 03/01/2001

## Foreign Applications

If Required, Foreign Filing License Granted 11/01/2001

Projected Publication Date: 05/16/2002

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***



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**Title**

Systems and methods for resource management in information storage environments

**Preliminary Class**

137

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Bib Data Sheet

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CONFIRMATION NO. 3305

<b>SERIAL NUMBER</b> 09/970,457	<b>FILING DATE</b> 10/03/2001 <b>RULE</b>	<b>CLASS</b> 137	<b>GROUP ART UNIT</b> 2151	<b>ATTORNEY DOCKET NO.</b> SURG:160
<b>APPLICANTS</b> Chaoxin C. Qiu, Austin, TX; Umesh Gupta, Austin, TX; Scott C. Johnson, Round Rock, TX; Sarma Kolavasi, Austin, TX; Theodore S. Webb, Austin, TX; Richard W. Yu, Cedar Park, TX; Mark J. Conrad, Colorado Springs, CO;				
<b>** CONTINUING DATA *****</b> THIS APPLICATION IS A CON OF 09/947,869 09/06/2001 WHICH IS A CIP OF 09/879,810 06/12/2001 WHICH CLAIMS BENEFIT OF 60/285,211 04/20/2001 AND CLAIMS BENEFIT OF 60/291,073 05/15/2001 THIS APPLICATION 09/970,457 IS A CIP OF 09/797,108 03/01/2001 AND IS A CIP OF 09/797,201 03/01/2001 AND CLAIMS BENEFIT OF 60/246,445 11/07/2000 AND IS A CIP OF 09/797,200 03/01/2001 WHICH CLAIMS BENEFIT OF 60/187,211 03/03/2000 THIS APPLICATION 09/970,457 CLAIMS BENEFIT OF 60/246,401 11/07/2000				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED.</b> <b>** 11/01/2001 ** SMALL ENTITY **</b>				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged Examiner's Signature _____ Initials _____	<b>STATE OR COUNTRY</b> TX	<b>SHEETS DRAWING</b> 8	<b>TOTAL CLAIMS</b> 53	<b>INDEPENDENT CLAIMS</b> 3
<b>ADDRESS</b> William W. Enders O'KEEFE, EGAN & PETERMAN Building C, Suite 200 1101 Capital of Texas Highway South Austin, TX 78746				
<b>TITLE</b> Systems and methods for resource management in information storage environments				
<input type="checkbox"/> All Fees				

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FEES: Authority has been given in Paper  
No. \_\_\_\_\_ to charge/credit DEPOSIT ACCOUNT  
No. \_\_\_\_\_ for following:

☐ 1.16 Fees ( Filing )

☐ 1.17 Fees ( Processing Ext. of  
time )

☐ 1.18 Fees ( Issue )

☐ Other \_\_\_\_\_

☐ Credit